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PATENT

Attorney Docket No.: 4366-49

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

HONG et al.

Serial No.: 09/921,832

Filed: August 3, 2001

For: "NON-INTRUSIVE MULTIPLEXED  
TRANSACTION PERSISTENCY IN  
SECURE COMMERCE ENVIRONMENTS"

) Group Art Unit: 2152  
) Examiner: Unknown

INFORMATION DISCLOSURE  
STATEMENT

"EXPRESS MAIL" MAILING LABEL NUMBER: EL 822581008US  
DATE OF DEPOSIT: November 6, 2001

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING  
DEPOSITED WITH THE UNITED STATES POSTAL SERVICE  
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UNDER 37 C.F.R. 1.10 ON THE DATE INDICATED ABOVE  
AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER  
FOR PATENTS, WASHINGTON, D.C. 20231.

TYPED OR PRINTED NAME: Angela P. Davis

SIGNATURE:

Assistant Commissioner for Patents  
Washington, D. C. 20231

Sir:

The references cited on attached Form PTO-1449 are being called to the attention of the Examiner. Copies of the cited references:

☒ Are enclosed herewith.

☐ Are not enclosed, in accordance with 37 C.F.R. 1.98(d), because the references were submitted to the U.S. Patent and Trademark Office in prior application Serial No. \_\_\_\_\_, titled \_\_\_\_\_, and having a filing date of \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120

☐ To the best of applicants' belief, the pertinence of the foreign-language references are believed to be summarized in the attached English abstracts and in the figures, although applicants do not necessarily vouch for the accuracy of the translation.

☒ Examiner's attention is drawn to the following co-pending applications: Serial Nos. 09/921,460, filed August 3, 2001, and 09/921,458, filed August 3, 2001 (copies enclosed).

Submission of the above information is not intended as an admission that any item is citable under the statutes or rules to support a rejection, that any item disclosed represents analogous art, or that those skilled in the

art would refer to or recognize the pertinence of any reference without the benefit of hindsight, nor should an inference be drawn as to the pertinence of the references based on the order in which they are presented. Submission of this statement should not be taken as an indication that a search has been conducted, or that no better art exists.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application and the references made of record therein.

### FEES

|                                     |  |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | <p>No fee is believed due in connection with this submission, because the information disclosure statement submitted herewith is being filed:</p> <p style="padding-left: 40px;"><input checked="" type="checkbox"/> within three months of the filing date of the application or date of entry into the national stage of an international application or</p> <p style="padding-left: 40px;"><input type="checkbox"/> before the mailing date of a first Office Action on the merits, whichever occurs last. 37 C.F.R. 1.97(b).</p> <p>Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</p>   |
| <input type="checkbox"/>            | <p>The information disclosure statement transmitted herewith is being filed after three months of the filing date of this national application or the date of entry of the national stage as set forth in 37 C.F.R. 1.491 in an international application or after the mailing date of the first Office action on the merits, whichever occurred last but before the mailing date of either:</p> <p style="padding-left: 40px;">(1) a final action under 37 C.F.R. 1.113 or</p> <p style="padding-left: 40px;">(2) a notice of allowance under 37 C.F.R. 1.311, whichever occurs first. This Information Disclosure Statement is accompanied by:</p> <p style="padding-left: 40px;"><input type="checkbox"/> A Certification (below) as specified by 37 C.F.R. 1.97(e). Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</p> <p style="text-align: center; padding: 10px 0;">OR</p> <p style="padding-left: 40px;"><input type="checkbox"/> A check in the amount of \$180.00 for the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement. Please credit any overpayment or charge any underpayment to Deposit Account No. 19-1970.</p> |
| <input type="checkbox"/>            | <p>This Information Disclosure Statement is being submitted after the mailing date of a final action under § 1.113 or a notice of allowance under § 1.311, but before payment of the issue fee.</p> <p style="padding-left: 40px;"><input type="checkbox"/> This information Disclosure Statement includes a Certification (below) as specified by 37 C.F.R. 1.97(e)</p> <p style="text-align: center; padding: 10px 0;">AND</p> <p style="padding-left: 40px;"><input type="checkbox"/> Applicants hereby petition for consideration of the references disclosed herein. Enclosed is a petition fee in the amount of \$130.00 under 37 C.F.R. 1.17(i)(1). Please credit any overpayment or charge any underpayment to Deposit Account No. 19-1970.</p>  |
| <input type="checkbox"/>            | <p>Applicant elects to pay the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement, and the enclosed check includes \$240.00 for payment of such fee. Please credit any overpayment or charge any underpayment to Deposit Account No. 19-1970. Election to pay the fee should not be taken as an indication that applicant(s) cannot execute a certification.</p>   |

**Certification (37 C.F.R. 1.97(e))**  
(Applicable only if checked)

☐ The undersigned certifies that:

☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(1).

☐ A copy of the communication from the foreign patent office is enclosed.

OR

☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(2).

Respectfully submitted,

SHERIDAN ROSS, P.C.

  
Douglas W. Swartz

Registration No. 37,739

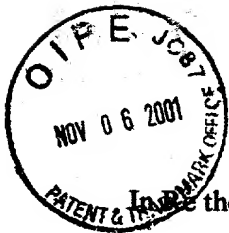
1560 Broadway, Suite 1200

Denver, CO 80202-5141

Nov. 6, 2001  
Date

SHERIDAN ROSS, P.C.  
303-863-9700  
FAX: 303-863-0223

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Atty. File No.: 4366-49

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TRANSACTION PERSISTENCY IN  
SECURE COMMERCE  
ENVIRONMENTS"

) Group Art Unit: 2152

) Examiner: Unknown

) SUBMISSION OF MISSING PARTS

) "EXPRESS MAIL" MAILING LABEL NUMBER: EL 822581009US  
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) PATENTS, WASHINGTON, D.C. 20231.

) TYPED OR PRINTED NAME: Angela P. Davis

) SIGNATURE: [Signature]

Commissioner of Patents  
Box Missing Parts  
Washington, D.C. 20231

Dear Sir:

In response to the Notice to File Missing Parts dated September 13, 2001, in connection with the above-identified application, enclosed herewith please find a Declaration and Power of Attorney, and the figures. Please debit Avaya Inc. Deposit Account No. 50-1602 for the amount of \$130.00 for payment of the surcharge. A copy of the Notice to File Missing Parts is also enclosed.

Respectfully submitted,

SHERIDAN ROSS P.C.

By: Douglas W. Swartz

Douglas W. Swartz

Registration No. 37,739

1560 Broadway, Suite 1200

Denver, Colorado 80202-5141

(303) 863-9700

Date: Nov. 6, 2001

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Initial Patent Examination Division (703) 308-1202

**PART 2 - COPY TO BE RETURNED WITH RESPONSE**



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D. C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/921,832         | 08/03/2001          | Jack L. Hong          | 4366-49                |

CONFIRMATION NO. 8603

FORMALITIES LETTER



\*OC000000006541387\*

Douglas W. Swartz  
SHERIDAN ROSS P.C.  
Suite 1200  
1560 Broadway  
Denver, CO 80202-5141



COPY OF PAPERS  
ORIGINALLY FILED

Date Mailed: 09/13/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

01/22/2002 MWOLDER1 00000236 501602 09921832

01 FC:105 130.00 CH

*A copy of this notice **MUST** be returned with the reply.*



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) Examiner: Unknown

) SUBMISSION OF FORMAL DRAWINGS

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) WASHINGTON, D.C. 20231.

) TYPED OR PRINTED NAME: Angela P. Davis

) SIGNATURE: 

Assistant Commissioner for Patents  
Attn: Drawing Review Branch  
Washington, D.C. 20231

Dear Sir:

Enclosed are eight (8) sheets of formal, inked drawings illustrating Figs. 1-9 of the application. Figs. 1-9 constitute all of the drawings in the application.

Respectfully submitted,

SHERIDAN ROSS P.C.

By: 

Douglas W. Swartz

Registration No. 37,739

1560 Broadway, Suite 1200

Denver, Colorado 80202-5141

(303) 863-9700

Date: Nov. 6, 2001